



#MoSummit2016



DIFP
Department of Insurance,
Financial Institutions &
Professional Registration

Producer Investigations and Disciplinary Actions 101



**2016 Director's
Regulatory Summit**

Disclaimer

This presentation is intended to provide a general educational overview of insurance regulatory topics. The materials contained herein are not intended nor should they be construed to provide specific legal or regulatory guidance. The content of this presentation and any related discussion represents the views and perspectives of the speaker(s) and do not in any way constitute official interpretations or opinions of the Missouri Department of Insurance. Legal or regulatory counsel should always be consulted to review specific questions or issues of regulatory compliance.



DIFP
Department of Insurance,
Financial Institutions &
Professional Registration

Panelists

Mary Johnson, Missouri DIFP

Diane Minear, Kansas Department of Insurance

LeAnn Crow, Kansas Department of Insurance

Larry Case, Missouri Association of Insurance Agents

Moderated by:

Carrie Couch, Missouri DIFP



DIFP
Department of Insurance,
Financial Institutions &
Professional Registration

Overview

- Complaints
- Investigations Process
- Disciplinary Actions
- Best Practices
- Questions, Questions, Questions



Complaints

- Public Access to Records
- Complaint v. Inquiry
- Complaint Trends



Investigations

- Authority
- Process
- Producer Responsibility



Disciplinary Actions

- Range of Discipline
- From the Case Files



Best Practices

- Cooperating with an Investigation
- NIPR Producer Database
- Application Accuracy
- Communication with Consumers



Questions, Questions, Questions

- Rebating
- Fees
- Privacy and Confidentiality
- Licensing Issues



Contact Information

Larry Case llcase@moagent.org

Diane Minear dminear@ksinsurance.org

LeAnn Crow lcrow@ksinsurance.org

Mary Johnson mary.johnson@insurance.mo.gov



DIFP
Department of Insurance,
Financial Institutions &
Professional Registration

Any
questions



DIFP
Department of Insurance,
Financial Institutions &
Professional Registration



#MoSummit2016



DIFP
Department of Insurance,
Financial Institutions &
Professional Registration